Kennedy NASA Policy Directive

Effective Date: **January 12, 2009**

Expiration Date: **January 12, 2014**

Responsible Office: Information Technology and Communications Services

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KSC Records Management Programs

**National Aeronautics and
Space Administration**

John F. Kennedy Space Center

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1.   POLICY

a. It is KSC policy that all NASA records, including those NASA-owned records generated and/or maintained by contractors, shall be created, maintained, preserved, and disposed of in accordance with the policies set forth in NASA Policy Directive (NPD) 1440.6 and NASA Procedural Requirements (NPR) 1441.1. Vital documents and records shall be identified, selected, and preserved to ensure the continuity of essential operations during and after any kind of emergency, in accordance with the policies set forth in NPD 1440.6. All official NASA records shall be documented on the KSC Business Record Template (BRT) Form, KDP-KSC-F-1147, and record holdings shall be reported annually to the Center Records Manager. At the present time, there is no requirement for retaining, or approved method to retain, e-mail records in electronic form. The Agency position is to print and preserve as paper documents all e-mail that is deemed to be official/vital records or supporting documentation to records.

2.   APPLICABILITY

This Policy applies to all NASA-KSC personnel and to contractor personnel, in accordance with the provisions of their respective contracts, who create and/or maintain records for, or on behalf of, NASA. This Policy does not apply to construction contracts and contracts for maintenance, which are performed onsite by nontenant contractors.

3.   AUTHORITY

a. NPD 1440.6, NASA Records Management
b. NPR 1441.1, NASA Records Retention Schedules

4.   APPLICABLE DOCUMENTS

a. JHB 2000, Consolidated Comprehensive Emergency Management Plan
b. NPR 1600.1, NASA Security Program Procedural Requirements
c. KNPR 1040.3, Continuity of Operations Planning (COOP) Procedural Requirements
d. KDP-KSC-P-1881, Records Management
e. KDP-KSC-F-1147, Business Record Template
f. KDP-P-3701, COOP Emergency Funding

5.   RESPONSIBILITY

a. **The KSC Chief Information Officer (CIO) is responsible for:**

(1) The overall direction of the KSC Records Management Program.

(2) Designating a KSC Records Manager to guide and oversee files and records management at KSC.

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(3) Through the Records Management function, providing technical assistance and procedural advice on creating, maintaining, using, and disposing of Federal records.

b. **Heads of Directorate organizations are responsible for:**

(1) Designating qualified employees to act as Records Liaison Officers (RLOs), Technical Representatives (TRs) for electronic records, and alternate RLOs for their respective organizations, and furnishing the names of the designated individuals to the KSC Records Manager.

(2) Ensuring that accurate and complete documentation of the transaction of official business, including mission and administrative operations, is preserved in official files and that all managers and supervisors effectively plan, direct, and control the records cycle from creation to disposition.

(3) Ensuring the RLOs develop a workable Vital Records Protection Plan (reference Attachment A) as part of the mandated KSC COOP for their respective organizations consistent with the provisions of this Policy.

c. **The KSC Records Manager/Installation Vital Records Officer is responsible for:**

(1) Formulating and administering the KSC Records Management Program, developing local policies and procedures to ensure compliance with National Archives and Records Administration (NARA) Regulations, and implementing NPDs and NPRs.

(2) Administering the KSC Vital Records Program, in consonance with the KSC Emergency Preparedness Officer and COOP Coordinator, to ensure the ready availability of records that are vital for the continued operation of essential functions within KSC in the event of an emergency.

(3) Instructing and guiding the organizational RLOs in the proper management of organizational records. This includes developing an effective organizational vital records plan.

(4) Serving as KSC's records management interface with NASA Headquarters, other NASA Centers, the NARA Archives and NARA Federal Records Center, and other Government agencies.

(5) Assessing how contractors manage NASA records in their custody, as specified in the contractual clause "Contractor-Held, Government Records," and providing the results to KSC Contracting Officers for consideration in award fee determinations.

(6) Approving or disapproving proposed changes to NASA records retention schedules covering KSC-unique records collections.

(7) Developing and coordinating a training program to familiarize Center personnel with requirements for the maintenance and disposition of KSC records.

(8) Maintaining a central, master listing of the organizational vital records and associated plans and reviewing annually with each organization to revalidate and/or update plans as appropriate.

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d. **Supervisors are responsible for:**

(1) Designating Record Custodians (RCs) in their respective organizations (office, division, or branch), and identifying them to the organizational RLO, who will provide the names to the KSC Records Manager.

(2) Ensuring accurate and complete documentation of the transaction of official business, including mission and administrative operations, is preserved in official files, and employees provide effective plans, directions, and control over the records cycle from creation to disposition in accordance with Federal, Agency, and Center policy and procedures.

e. **The TRs are responsible for the following:**

(1) Maintaining liaison and coordinating electronic records matters with the KSC Records Manager, their respective organizational RLOs, and the RCs to ensure all electronic records within the responsibility of their respective organizations are maintained and disposed of in accordance with NARA and the NASA records management regulations.

(2) Ensuring electronic records disposition instructions are fully implemented for all computer systems, as defined by the Records Manager.

(3) Developing appropriate retention and disposition recommendations for unscheduled technical records in consonance with appropriate project and program managers and the organization's RLO.

f. **Organizational RLOs are responsible for:**

(1) Ensuring the proper organization, maintenance, and disposition of all records generated within their respective areas of responsibility in support of the KSC Records Manager (reference NPD 1440.6 and NPR 1441.1).

(2) Complying with the NASA Records Retention Schedules, NPR 1441.1.

(3) Ensuring that accurate and complete documentation of the transaction of official business, including mission and administrative operations, is preserved in official files, and that all managers and supervisors effectively plan, direct, and control the records cycle from creation to disposition.

(4) Coordinating with the KSC Vital Records Officer to develop and ensure a workable Vital Records Protection Plan for identifying, safeguarding, maintaining, and preserving the organization's vital records, including those in the possession of contractors.

(5) Preparing and furnishing a complete inventory of vital records to the KSC Vital Records Officer.

(6) Annually reviewing their organization's vital records to identify those that are out of date or incomplete.

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g. **Alternate RLOs are responsible for:**

(1) Ensuring the proper organization, maintenance, and disposition of all records generated within their respective areas of responsibility in support of the KSC Records Manager (reference NPD 1440.6 and NPR 1441.1).

(2) Complying with the NASA Records Retention Schedules, NPR 1441.1.

h. **Records Custodians (RCs) are responsible for:**

(1) Implementing the records maintenance, use, and disposition policies and procedures for the records they maintain for their respective offices.

(2) Consulting with the supervisor and, when necessary, with the organizational RLO on problems concerning creation, maintenance, use, and disposition of records.

i. **Employees are responsible for:**

(1) Obtaining basic records management training and guidance from their organization's RLO or RC.

(2) Recognizing that office records are any recorded information (documentary materials) required by law or used to conduct Agency business and that records are Government property.

(3) Creating and maintaining records.

(4) Cooperating with the RLO to ensure that all records are listed on the BRT and described accurately in the Agency's Records Retention Schedules (NPR 1441.1).

(5) Maintaining personal papers and nonrecord material separately from Federal records.

(6) Cooperating with the RLO in transferring eligible records to a records center and permanent records to NARA.

(7) Cooperating with the RLO in destroying records only as authorized in the Agency's Records Retention Schedules (NPR 1441.1).

(8) Following proper procedures when removing records from the office (see KDP-KSC-P-1881).

j. **The Director, Procurement Office, is responsible for:**

(1) Ensuring all onsite KSC contractors who have NASA-owned records manage and dispose of them in accordance with this Policy and other applicable regulations.

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k. **The Manager, KSC Records Staging Area, is responsible for:**

(1) Managing the KSC Records Staging Area, and all records in it, to include shelving and reshelving records as necessary.

(2) Retrieving stored records from records located at the KSC Staging Area and sending to appropriate customer as required.

l. **The KSC Emergency Preparedness Officer is responsible for:**

(1) Assisting the KSC Vital Records Officer in administering the KSC Vital Records Plan and in the selection of vital records storage sites.

(2) Including in JHB 2000 requirements for the preservation of KSC vital records.

m. **The Continuity of Operations Planning (COOP) Coordinator is responsible for:**

Assisting the KSC Vital Records Officer in administering the KSC Vital Records Plan and in the selection of vital records storage sites.

6.   CANCELLATION or SUPERSESSION

This revision supersedes KNPD 1440.1, Rev. B, KSC Records Management Programs.

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Robert D. Cabana
Director

Attachment A: Vital Records Management

Distribution: Tech Doc Library

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ATTACHMENT A: VITAL RECORDS MANAGEMENT

1. <u>Vital Records</u> are those Agency records that would be needed to continue operational responsibilities under national security emergencies or other emergency disaster conditions. This definition also includes those records essential to protecting the legal and financial rights of KSC and of those individuals affected by its activities. Vital records fall into two categories: (1) emergency operating records, and (2) legal and financial rights records.

a. <u>Emergency Operating Records</u> are records vital to the essential functioning of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical Agency operations, as well as related policy or procedural records that assist Agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.

b. <u>Legal and Financial Rights Records</u> are that type of vital records essential to protecting the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, insurance records, and records documenting financial agreements with external entities.

2. <u>Vital Records Plan</u>. Each Federal agency must develop and implement a plan for identifying and protecting its vital records in accordance with 36 CFR Subpart B and Part 1236. Critical to this effort is the development and maintenance of a current inventory of the Agency's record series and information systems deemed to be vital.

3. <u>Inventory of Vital Records</u> should include:

a. The name of the office responsible for the records series or electronic information system.

b. The title of each records series or information system containing vital information.

c. Identification of each series or system that contains emergency operating vital records or vital records relating to rights.

d. The medium on which the records are recorded.

e. The physical location for offsite storage of copies of the records series or system, if applicable.

f. The frequency with which the records are to be cycled (updated).

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4. <u>Vital Records Reporting</u>

a. The RLOs will provide to the KSC Records Manager a listing of records considered to be vital records and their plans for disposition during and after emergencies.

b. The KSC Records Manager will maintain, in a central location, a master listing of these designated records and disposition plan.

c. The KSC Records Manager will review plans annually with Center organizations to revalidate and/or update as appropriate.

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